

FORM PTO-1390 (Modified)  
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

5654770301

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

09/937107

INTERNATIONAL APPLICATION NO.  
PCT/EP00/02349INTERNATIONAL FILING DATE  
March 16, 2000PRIORITY DATE CLAIMED  
CITE  
March 19, 1999

TITLE OF INVENTION

DEVICE FOR PRODUCING MONOCRYSTALS

APPLICANT(S) FOR DO/EO/US

Klaus Sonnenberg et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
- The US has been elected by the expiration of 19 months from the priority date (Article 31).
- A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - is attached hereto (required only if not communicated by the International Bureau).
  - has been communicated by the International Bureau.
  - is not required, as the application was filed in the United States Receiving Office (RO/US).
- An English language translation of the International Application as filed (35 U.S.C. 371(c)(2))
  - is attached hereto.
  - has been previously submitted under 35 U.S.C. 154(d)(4).
- Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - are attached hereto (required only if not communicated by the International Bureau).
  - have been communicated by the International Bureau.
  - have not been made; however, the time limit for making such amendments has NOT expired.
  - have not been made and will not be made.
- An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- A copy of the International Preliminary Examination Report (PCT/IPEA/409).
- A copy of the International Search Report (PCT/ISA/210).

**Items 13 to 20 below concern document(s) or information included:**

- An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
- A **FIRST** preliminary amendment.
- A **SECOND** or **SUBSEQUENT** preliminary amendment.
- A substitute specification.
- A change of power of attorney and/or address letter.
- A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
- A second copy of the published international application under 35 U.S.C. 154(d)(4).
- A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
- Certificate of Mailing by Express Mail
- Other items or information:

**Title page of WIPO publication; Form PCT/IB/308, Fig. 1, English Translation of amendment to page 2 of the specification of PCT Application; PCT Request, Form PCT/RO/101**

19 SEP 2001

24. The following fees are submitted:

**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) :**

<input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO .....	\$1000.00
<input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO .....	\$860.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....	\$710.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) .....	\$690.00
<input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) .....	\$100.00

**ENTER APPROPRIATE BASIC FEE AMOUNT =****\$860.00**

Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)).

 20     30**\$0.00**

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total claims	48 - 20 =	28	x \$18.00	<b>\$504.00</b>
Independent claims	1 - 3 =	0	x \$80.00	<b>\$0.00</b>
Multiple Dependent Claims (check if applicable).			<input checked="" type="checkbox"/>	<b>\$270.00</b>

**TOTAL OF ABOVE CALCULATIONS =****\$1,634.00**

Applicant claims small entity status. (See 37 CFR 1.27). The fees indicated above are reduced by 1/2.

**\$0.00****SUBTOTAL =****\$1,634.00**

Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)).

 20     30**\$0.00****TOTAL NATIONAL FEE =****\$1,634.00**

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).

**\$0.00****TOTAL FEES ENCLOSED =****\$1,634.00**

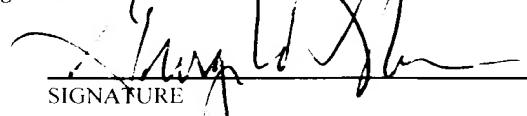
<b>Amount to be: refunded</b>	\$
<b>charged</b>	\$

- a.  A check in the amount of **\$1,634.00** to cover the above fees is enclosed.
- b.  Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c.  The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **04-1105** A duplicate copy of this sheet is enclosed.
- d.  Fees are to be charged to a credit card. **WARNING: Information on this form may become public. Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

Dike, Bronstein, Roberts & Cushman,  
IP Group of Edwards & Angell LLP  
P.O. Box 9169  
Boston, MA 02209  
(617) 439-4444  
(617) 439-4170 (FAX)



SIGNATURE

George W. Neuner

NAME

26,964

REGISTRATION NUMBER

September 19, 2001

DATE

09/937107  
19 SEP 2001



#### VERIFICATION OF TRANSLATION

I, Dr. Dorothea HOFER , of Herzog-Garibald-Straße 8  
81545 München  
Germany

do hereby verily declare that the attached document is a true  
translation of International Application No. PCT/EP00/02349  
for DEVICE FOR PRODUCING MONOCRYSTALS

made by: FREIBERGER COMPOUND MATERIALS GmbH  
Am Junger Löwe Schacht 5  
09599 Freiberg/Germany  
et al.

I hereby declare that all statements made herein of my own  
knowledge are true and that all statements made on information  
and belief are believed to be true; and further that these state-  
ments were made with the knowledge that willful false statements  
and the like so made are punishable by fine or imprisonment, or  
both, under Section 1001 of Title 18 of the United States Code  
and that such willful false statements may jeopardize the validity  
of the application or any patent issued thereon.

19 SEP 2001  
Date: